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THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Joseph G. Barrett et al.      Art Unit : 2152  
Serial No. : 09/978,046      Examiner : Unknown  
Filed : October 17, 2001  
Title : E-MAIL SENDER IDENTIFICATION

Commissioner for Patents  
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Applicants submit the references listed on the attached form PTO-1449, copies of which are enclosed. Although undated, Applicants currently believe that items AG-AM were available prior to May 16, 2000. Items AH-AQ were obtained from the web site <http://web.archive.org>, which purports to contain a representation of the web site <http://www.sendmail.org> as of May 11, 2000.

This statement is being filed before the receipt of a first Office action on the merits.  
Please apply any charges or credits to Deposit Account No. 06-1050.

Respectfully submitted,

Date: January 31, 2002

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Substitute Form PTO-1449  
(Modified)U.S. Department of Commerce  
Patent and Trademark OfficeAttorney's Docket No.  
06975-132002Application No.  
09/978,046**Information Disclosure Statement  
by Applicant**

(Use several sheets if necessary)

Applicant  
Joseph G. Barrett et al.Filing Date  
October 17, 2001Group Art Unit  
2152**U.S. Patent Documents**

| Examiner Initial | Desig. ID | Patent Number | Issue Date | Patentee | Class | Subclass | Filing Date If Appropriate |
|------------------|-----------|---------------|------------|----------|-------|----------|----------------------------|
|                  | AA        |               |            |          |       |          |                            |
|                  | AB        |               |            |          |       |          |                            |
|                  | AC        |               |            |          |       |          |                            |
|                  | AD        |               |            |          |       |          |                            |

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**Foreign Patent Documents or Published Foreign Patent Applications**

| Examiner Initial | Desig. ID | Document Number | Publication Date | Country or Patent Office | Class | Subclass | Translation |    |
|------------------|-----------|-----------------|------------------|--------------------------|-------|----------|-------------|----|
|                  |           |                 |                  |                          |       |          | Yes         | No |
|                  | AE        |                 |                  |                          |       |          |             |    |
|                  | AF        |                 |                  |                          |       |          |             |    |

**Other Documents (include Author, Title, Date, and Place of Publication)**

| Examiner Initial | Desig. ID | Document   |
|------------------|-----------|--|
|                  | AG        | Eric Allman, <i>SENDMAIL™ Installation and Operation Guide Version 8.310 for Sendmail Version 8.10</i> , Sendmail, Inc., (84 pages).   |
|                  | AH        | <i>Allowing controlled SMTP relaying in Sendmail 8.9</i> , (2 pages),<br><a href="http://web.archive.org/web/20000510213022/www.sendmail.org/tips/relaying.html">http://web.archive.org/web/20000510213022/www.sendmail.org/tips/relaying.html</a> .   |
|                  | AI        | <i>Anti-Spam Configuration Control</i> , (5 pages),<br><a href="http://web.archive.org/web/20000520064211/www.sendmail.org/m4/anti-spam.html">http://web.archive.org/web/20000520064211/www.sendmail.org/m4/anti-spam.html</a> .   |
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|                  | AK        | Mark Durham, <i>Spam Control in 8.10</i> , (3 pages),<br><a href="http://web.archive.org/web/20000618042433/sendmail.net/?feed=interview810-5">http://web.archive.org/web/20000618042433/sendmail.net/?feed=interview810-5</a> .   |
|                  | AL        | Paul Boutin, <i>RFC 2476: Message Submission Agent</i> , (3 pages),<br><a href="http://web.archive.org/web/200010270602105/sendmail.net/?feed=rfc2476">http://web.archive.org/web/200010270602105/sendmail.net/?feed=rfc2476</a> .   |
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|                  | AN        | <i>Relaying Denied/Allowed (in sendmail 8.8/8.9)</i> , Last Update 2/11/2000, (2 pages),<br><a href="http://web.archive.org/web/20000418000700/www.sendmail.org/~ca/email/relayingdenied...">http://web.archive.org/web/20000418000700/www.sendmail.org/~ca/email/relayingdenied...</a> .  |
|                  | AO        | rfc2222, J. Myers, <i>Simple Authentication and Security Layer (SASL)</i> , (16 pages), October 1997, The Internet Society (1997), <a href="http://web.archive.org/web/20001027153713/www.cis.ohio-state.edu/htbin/rfc/rfc2222.ht...">http://web.archive.org/web/20001027153713/www.cis.ohio-state.edu/htbin/rfc/rfc2222.ht...</a> . |
|                  | AP        | rfc2554, J. Myers, <i>SMTP Service Extension for Authentication</i> , (11 pages), March 1999, The Internet Society (1999), <a href="http://web.archive.org/web/20001018181229/www.cis.ohio-state.edu/htbin/rfc/rfc2554.ht...">http://web.archive.org/web/20001018181229/www.cis.ohio-state.edu/htbin/rfc/rfc2554.ht...</a> .         |
|                  | AQ        | <i>Using SMTP AUTH in Sendmail 8.10</i> , (2 pages), March 27, 2000,<br><a href="http://web.archive.org/web/20001016174022/sendmail.net/?feed=usingsmthpauth">http://web.archive.org/web/20001016174022/sendmail.net/?feed=usingsmthpauth</a> .  |

Examiner Signature

Date Considered

EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.